

# **Alcohol and Other Drug Prevention Models on College Campuses**

CFDA #84.184N

**Information and Application Procedures for Fiscal Year 2005**

OMB No. 1890-0009    Expiration Date: 6/30/2008

**Application Deadline: August 1, 2005**



**Frequently Asked Questions**  
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**U.S. Department of Education**

Office of Safe and Drug-Free Schools



# UNITED STATES DEPARTMENT OF EDUCATION

## OFFICE OF SAFE AND DRUG-FREE SCHOOLS

ASSISTANT DEPUTY SECRETARY

JUN - 1 2005

Dear Colleague:

Thank you for your interest in applying for funding under the Alcohol and Other Drug Prevention Models on College Campuses Program.

We know that high-risk drinking and violent behavior contribute to a number of academic and social, health-related problems. There is a national need to identify effective programs and strategies that address high-risk drinking and drug use among college students. According to several studies, approximately 39 percent of the nation's college students engage in heavy drinking and nearly 71 percent of underage students use alcohol. Preventing violent behavior among college students is also a critical concern for institutions of higher education.

Funds awarded under this program may be used to identify, enhance, further evaluate and disseminate information about effective alcohol or other drug prevention programs being implemented on college campuses. We hope that other institutions of higher education will use the model programs identified under this competition to strengthen their alcohol and other drug prevention programs.

We look forward to receiving your application under this grant competition.

Sincerely,

A handwritten signature in dark ink, appearing to read "Deborah A. Price".

Deborah A. Price

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## **I. OVERVIEW AND BACKGROUND INFORMATION**

The goals of this competition are to identify models of effective alcohol and other drug (AOD) prevention programs at institutions of higher education (IHEs) and disseminate information about these programs to other colleges and universities where similar efforts may be adopted.

### **Authority**

This competition is authorized under Title IV, Section 4121 of the No Child Left Behind Act of 2001.

### **Note to Applicants**

This is a complete application package for Alcohol and Other Drug Prevention Models on College Campuses. Together with the statute authorizing the program and the Education Department General Administrative Regulations (EDGAR) governing the program, this package contains all of the information, application forms, and instructions needed to apply for this grant.

The official document governing this competition is the Notice of Final Priority published in the Federal Register. This notice also is available electronically at: [www.ed.gov/legislation/FedRegister](http://www.ed.gov/legislation/FedRegister) and <http://www.gpoaccess.gov/nara/index.html>

Applicants should clearly indicate in Block #4 of the Application for Federal Education Assistance (ED Form 424), the CFDA number and alpha suffix of this competition (i.e., 84.184N).

### **Applicable Regulations**

The following Education Department General Administrative Regulations (EDGAR) apply to the competition described in this application package:

- 34 CFR Part 74 (Administration of Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Non-Profit Organizations)
- 34 CFR Part 75 (Direct Grant Programs)
- 34 CFR Part 77 (Definitions that Apply to Department Regulations)
- 34 CFR Part 79 (Intergovernmental Review of Department of Education Programs and Activities)
- 34 CFR Part 80 (Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments)
- 34 CFR Part 81 (General Education Provisions Act—Enforcement)
- 34 CFR Part 82 (New Restrictions on Lobbying)
- 34 CFR Part 84 (Government-wide Requirements for Drug-Free Workplace (Financial Assistance))
- 34 CFR Part 85 (Government-wide Debarment and Suspension (Nonprocurement))

- 34 CFR Part 86 (Drug and Alcohol Abuse Prevention) (applies only to institutions of higher education)
- 34 CFR Part 97 (Protection of Human Subjects)
- 34 CFR Part 98 (Student Rights in Research, Experimental Programs, and Testing)
- 34 CFR Part 99 (Family Educational Rights and Privacy)
- 34 CFR Part 299 (General Provisions)

### **Eligibility**

Eligible applicants are institutions of higher education (IHEs) that offer an associate or baccalaureate degree. Additionally, to be eligible, an IHE must not have received an award under this grant competition (CFDA# 84.184N) during the previous five fiscal years (fiscal years 2000 through 2004).

### **Project Period**

The project period for this grant is 15 months. We intend for the project and budget period for this grant to be October 1, 2005 to December 31, 2006.

### **Estimated Range of Awards**

An estimated 10 new awards will be made. Projects will be funded for approximately \$50,000 to \$125,000, for an estimated average size of \$75,000 per year, depending on the scope of work. These figures are only estimates and do not bind the Department of Education to a specific number of grants or amount of any grant. Contingent upon the availability of funds and the quality of the application, we may make additional awards in Fiscal Year 2006 based on the list of unfunded applications from this competition.

### **Application Due Date**

All applications must be postmarked on or before August 1, 2005, in order to be eligible for review. Applications delivered by hand must be received by the U.S. Department of Education Application Control Center no later than 4:30 PM Eastern Time (ET) on August 1, 2005. Applications also may be submitted electronically through the Grants.gov Web site. Applications may not be e-mailed or faxed.

Under very extraordinary circumstances, the Department may change the closing date for a competition. When this occurs, we announce such a change in a notice published in the Federal Register. Waivers for individual applications failing to meet the deadline will not be granted.

### **E-Mail Addresses**

Please be sure to provide your e-mail address on ED Form 424 clearly (if printing) and accurately. During our review of the budget portion of your application, we may need to contact you with clarifying questions. These contacts may occur during the summer months and will usually happen via e-mail. Please be sure that the e-mail address you provide is accessible by an

authorized representative of your organization until the projected date for new awards. If we are unable to reach you, we may make significant cuts to your proposed budget or your application may be dropped from further consideration for funding.

We also will make peer review comments available to you online at the conclusion of the review.

### **Technical Assistance in Preparing Applications**

Any questions related to the requirements of this grant competition should be directed to Vera Messina at 202-260-8273 or Ruth Tringo at 202-260-2838.

Information about applying for grants from the Office of Safe and Drug-Free Schools (OSDFS) is available online at <http://www.ed.gov/admins/grants/apply/techassist/index.html>.

### **D-U-N-S Number Instructions**

All applicants must provide a valid D-U-N-S Number. If you do not have a number, you may obtain one without charge by calling 1-800-333-0505 or by completing a D-U-N-S number Request Form at:

<http://www.dnb.com/us>

Dun & Bradstreet, a global information services provider, has assigned D-U-N-S numbers to over 43 million companies worldwide.

**Please note that you must have a D-U-N-S number in order to receive a grant award.**

## **II. THE GOVERNMENT PERFORMANCE AND RESULTS ACT (GPRA)**

The Government Performance and Results Act of 1993 (GPRA) is a straightforward statute that requires all federal agencies to manage their activities with attention to the consequences of those activities. Each agency is to clearly state what it intends to accomplish, identify the resources required, and periodically report their progress to the Congress. In so doing, it is expected that the GPRA will contribute to improvements in accountability for the expenditures of public funds, improve congressional decision-making through more objective information on the effectiveness of federal programs, and promote a new government focus on results, service delivery, and customer satisfaction.

As required by GPRA, the Department of Education has prepared a strategic plan for 2002-2007. This plan reflects the Department's priorities and integrates them with its mission and program authorities and describes how the Department will work to improve education for all children and adults in the U.S. The Department's goals, as listed in the plan, are:

**GOAL 1:** Create a culture of achievement.

**GOAL 2:** Improve student achievement.

**GOAL 3:** Develop safe schools and strong character.

**GOAL 4:** Transform education into an evidence-based field.

**GOAL 5:** Enhance the quality and access to postsecondary and adult education.

**GOAL 6:** Establish management excellence.

The Secretary may choose to develop performance measures for the Alcohol and Other Drug Prevention Models on College Campuses Program in accordance with the Government Performance and Results Act. If indicators are developed, grantees will be asked to provide information that relates to participant outcomes and project management.

In the absence of specific performance indicators, however, grantees are expected to further enhance and implement evaluation plans capable of demonstrating the impact their programs have had on target populations, for example, student behavior changes as a direct result of the program.

### **III. TIPS FOR APPLICANTS**

#### **A. Before you Begin**

- Read this application package carefully and make sure you follow all of the instructions.
- Use the tools we have provided to help you including
  - Frequently Asked Questions in this application package
  - How to apply for a grant on our Web site at:  
<http://www.ed.gov/admins/grants/apply/techassist/index.html>.
- Ask questions of the program contact if you don't understand how to proceed. Technical assistance will be provided about what is and is not allowable under this program. See Section IX of this application package for program contact information.

#### **B. Preparing your Application**

- Be thorough in your program description. Write so that someone who knows nothing about your organization or your program plan can understand what you are proposing.
- Organize your application according to the selection criteria and respond comprehensively.
- Make sure your budget narrative provides enough detail about planned expenditures so staff can easily determine how the funds will be spent.
- Link your planned expenditures to the goals and objectives of your program. Do not request funds for miscellaneous purposes and make sure you demonstrate that your proposed expenditures are necessary to carry out your program.

#### **C. Submitting your Application**

- Use the checklist provided in this application package to make sure your application is complete before submitting it.
- Make sure all required forms are included and signed by an authorized representative of your organization.
- Transmit your application by the deadline date. If you use the U.S. Postal Service, make sure you have a legible postmark date. If you use an overnight carrier, get a receipt. If you use Grants.gov, follow the instructions on the Grants.gov Web site.

#### **D. What Happens Next?**

- In approximately two weeks (depending on the volume of applications) you should receive a postcard from ED's Application Control Center acknowledging receipt of your application and giving you its assigned number. Please refer to this number if you need to contact us about your application.
- OSDFS staff screens each application to ensure that all program eligibility requirements are met and all forms are included.
- Your application will be assigned to a three-person panel of expert reviewers who will evaluate and score your proposal according to the selection criteria in this package. Your



application will receive a score from 0 to 100 depending upon how well you respond to the requirements of the selection criteria.

- The review of applications and notification of awards for this grant competition requires approximately 10 to 12 weeks. We expect to conduct site visits to high-scoring applicants in August and September 2005. Successful applicants are expected to be notified in September 2005.
- A grant award document will be sent to applicants whose proposals score within the funding range. Unsuccessful applicants will receive a notification letter. Both successful and unsuccessful applicants will receive information via e-mail on how to get access to peer review comments. Please be sure your application contains clearly written and accurate e-mail addresses. Copies of peer review comments will not be sent by regular mail.

## **IV. PROGRAM-SPECIFIC INFORMATION AND REQUIREMENTS**

### **Reporting Requirements**

All grantees are required to submit an annual report of progress including the effectiveness of the programs and activities funded under the grant. In addition, grant recipients are required to submit a final report within 90 days of the end of the project period.

### **Grantee Meetings**

Applicants must budget for the Project Director and at least one additional staff member to attend ED's annual National Meeting on Alcohol and Other Drug Abuse and Violence Prevention in Higher Education during each year of their project period. For planning purposes, applicants should include funds for transportation, lodging for four nights and four days, per diem costs, and conference registration fee for each meeting. The 2005 National Meeting will be in Indianapolis, Indiana, from October 2-5. For more information about this year's National Meeting, visit [www.higheredcenter.org/natl/2005](http://www.higheredcenter.org/natl/2005). The 2006 National Meeting will be in Washington, D.C.

### **Human Subjects Research**

Projects funded under this grant program may be subject to protection of human subjects requirements. Please see the Instructions for ED 424, paragraph 13, in Section X of this application package. If you have any questions about your responsibilities under these requirements, please contact ED's Protection of Humans Subjects Coordinator at (202) 245-6153.

### **Expectations of Grantees**

By submitting an application for this program, applicants agree to provide project information upon request to the Department of Education and its contractors. At a minimum, grantees should:

- maintain records on how their program is operating;
- maintain records on the extent to which their program objectives are being met;
- include performance indicators in the evaluation plan described in their proposal; and
- make ongoing project information, findings, and products available to ensure the dissemination of knowledge gained from this effort during the grant period.

Grantees will be expected to share information about their projects with the Department's Higher Education Center or other Department contractors to assist in developing a national publication describing the model programs or for other dissemination efforts. Grantees also may be expected to share information with Department of Education evaluators to assist with national evaluation efforts.

### **Estimated Public Reporting Burden**

According to the Paperwork Reduction Act of 1995, you are not required to respond to a collection of information unless it displays a valid OMB control number. The valid OMB control number for this information collection is OMB No. 1890-0009, Expiration Date: 6/30/2008. The time required to complete this information collection is estimated to average 32 hours per response, including the time to review instructions, search existing data sources, gather the data needed, and complete and review the information collection. **If you have any comments concerning the accuracy of the time estimate or suggestions for improving this form, please write to:** U.S. Department of Education, Washington, DC 20202-4651. **If you have comments or concerns regarding the status of your individual submission of this form, write directly to:** U.S. Department of Education, Office of Safe and Drug-Free Schools, 400 Maryland Avenue, SW, Washington, DC 20202-6450.

## **V. APPLICATION INFORMATION AND SELECTION CRITERIA**

### **Background**

Recent research confirms that the United States continues to have major problems associated with alcohol and other drug (AOD) use on college campuses. Based on 2004 data from the Monitoring the Future study, approximately 39 percent of the nation's college students engaged in heavy drinking (defined as five or more drinks in a row) in the previous two weeks.<sup>1</sup> The Core Institute found that 72 percent of underage students used alcohol and more than 21 percent of all students used an illicit drug within the 30 days prior to taking the survey.<sup>2</sup>

Survey data also indicate that AOD use has, frequently, very negative consequences for college students. On the 2004 Core Institute survey, more than 34 percent of students reported that, in the year prior to the survey, they had gotten into an argument or fight as a result of their drinking, almost 31 percent reported that they had driven a car under the influence, almost 33 percent reported that they had missed a class because of their drinking, 39 percent reported that they had done "something I later regretted" because of their drinking, and almost 67 percent reported that they had experienced actual physical violence while under the influence of alcohol or other drugs.

Campus-based programs, which include individual, group, and environmental approaches, have been implemented nationwide in an attempt to curb AOD use and its associated negative consequences. Comprehensive prevention approaches that combine individual and group approaches with strategies aimed at changing the physical, social, legal, and economic environment in which students make decisions about AOD use have shown the most promise. Alcohol and other drug use and other health-related behavior is influenced at multiple levels: intrapersonal, interpersonal, institutional, community, and public policy.

The U.S. Department of Education has supported campus- and community-based prevention programs for almost two decades, in response to AOD-related problems on college campuses and in their surrounding communities. Through discretionary grants and dissemination of information on effective strategies through its Higher Education Center for Alcohol and Other Drug Abuse and Violence Prevention, the Department has supported efforts to address these complex problems facing our nation's institutions of higher education. Projects funded by the Department have been based on theory, expert consensus, practical experience, and evaluated programs.

In addition to grant competitions and the Higher Education Center, the Department of Education's current efforts to address drug abuse and violent behavior include the annual National Meeting on Alcohol and Other Drug Abuse and Violence Prevention in Higher

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<sup>1</sup> Johnston, L.D., O'Malley, P.M., Bachman, J.G., and Schulenberg, J.E. Monitoring the Future National Survey Results on Drug Use, 1975-2003. Volume II College Students and Adults Ages 19-45. National Institute on Drug Abuse, 2004.

<sup>2</sup> The Core Institute. 2004 Statistics on Alcohol and Other Drug Use on American Campuses. Available online at <http://www.siu.edu/~coreinst/results.htm>. Southern Illinois University-Carbondale.

Education; cooperative grant efforts with the National Institute on Alcohol Abuse and Alcoholism and the Center for Substance Abuse Prevention; development and dissemination of an underage drinking and impaired driving prevention manual for campus communities with the U.S. Department of Transportation's National Highway Traffic Safety Administration.

There is a national need to identify effective programs and strategies that address high-risk drinking and drug use among college students. The Department of Education seeks to make the most of its limited funds by supporting projects that can become practical models for replication and adaptation in other college communities. The goals of this competition are to identify models of effective campus-based alcohol and other drug prevention programs and disseminate information about these programs to other colleges and universities where similar efforts may be adopted.

Effective programs will show reductions in campus alcohol and drug use or reductions in AOD-related problems. These programs should have a significant role in developing or maintaining a safe and healthy campus environment. Programs also should be part of a comprehensive approach—a broad, multi-faceted, campus-based strategy focused on AOD prevention. A comprehensive approach is one that combines a range of policies, practices, and programs to address the various factors that influence student behavior, and results in an institution-wide approach to reducing alcohol and other drug problems on campus.

### **National Awards Ceremony**

In addition to receiving a monetary award, representatives of recognized institutions will be invited to attend a national awards ceremony. The Department will publicize the awards and bring national attention to the selected institutions and their programs.

### **National Publication**

Each recognized program and institution will be featured in a report highlighting the model programs and providing information on how to create safer, healthier campus learning environments.

### **Lessons Learned**

More than a decade of experience with discretionary grant programs has shown that successful projects adapt strategies that are based on sound prevention theory, research, or model programs and practices. The selection of the appropriate strategy must be made based on a strong assessment to identify the existing needs, opportunities, and strengths of the campus and surrounding community.

Prevention and early intervention initiatives should be designed to reduce both individual and environmental risk factors and enhance protective factors in specific populations and settings. There are a number of features that effective prevention programs share. Specifically, they are

targeted; designed to effect long-term change; strengthen the natural support systems of family, school, and community; and can document their success in meeting stated goals and objectives.<sup>3</sup>

Institutions of higher education have considerable experience in educational- and individual-based prevention programs on campuses, and these strategies are necessary in order to provide a comprehensive array of prevention programming on campus. However, they are insufficient alone to create systemic, long-lasting change on college campuses. ED is interested in projects that incorporate individual-based strategies into a broader and more comprehensive approach. Research strongly supports the use of comprehensive, integrated programs with multiple complementary components that target individuals, including at-risk or alcohol-dependent drinkers; the student population as a whole; and the college and the surrounding community.<sup>4</sup>

Broad community support can be a critical component of successful prevention programs, especially when approaches are employed to change the physical and social environments to reduce substance use and resulting problems.<sup>5</sup> Research at the community level shows that access to and availability of alcohol strongly influences the rate of alcohol problems within a given population among both moderate and heavy drinkers.<sup>6</sup>

The evidence supporting prevention strategies varies, which does not mean that one strategy is better than another. Some strategies have not been as thoroughly studied as others or have not been evaluated for specific application to drinkers in college. The Task Force of the National Advisory Council on Alcohol Abuse and Alcoholism placed prevention strategies in tiers based on the evidence available to support or refute them.<sup>7</sup> Applicants should examine these tiers closely when identifying which strategies they plan to incorporate in their project design.

ED is committed to assisting schools in providing students with a safe environment in which to learn, and to keeping parents and students well informed about campus security. ED's Higher Education Center developed a framework that identifies the scope of campus violence problems, factors that cause and contribute to violence, and strategies to reduce health and safety problems. These strategies include using multiple, coordinated, and sustained approaches; drawing on existing research to determine which strategies work; building the necessary infrastructure to support prevention efforts, such as partnerships and institutional support; and evaluating whether the initiatives are achieving their intended outcomes.<sup>8</sup>

Applicants must document the ability to start their project within 60 days after receiving federal funding. Experience shows that there is an increased likelihood that projects will show success if they are able to build upon or start a project on campus or with the larger community soon after

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<sup>3</sup> New York State Office of Alcoholism and Substance Abuse Services. Healthy Campus Communities: NYS College Alcohol and Other Drug Abuse Prevention Manual, 2003.

<sup>4</sup> National Institute on Alcohol Abuse and Alcoholism. A Call to Action: Changing the Culture of Drinking at U.S. Colleges. U.S. Department of Health and Human Services, 2002.

<sup>5</sup> Center for Substance Abuse Prevention. Effective Community Mobilization: Lessons From Experience. U.S. Department of Health and Human Services, 1997.

<sup>6</sup> Gruenewald, P.R., Millar, A.B., Roeper, P. Alcohol Health and Research World, Volume 20, Number 4, pp. 244-245, 1996.

<sup>7</sup> See number 6.

<sup>8</sup> Langford, L. Preventing Violence and Promoting Safety in Higher Education Settings: Overview of a Comprehensive Approach. The Higher Education Center for Alcohol and Other Drug Abuse and Violence Prevention, U.S. Department of Education, 2004.

receiving federal funding. Applicants that are not able to demonstrate their readiness to start or expand a project are unlikely to score well in this grant competition. Projects supported under this grant competition should be designed to demonstrate and document outcome measures over the two-year grant period.

To strengthen the quality of drug abuse and violence prevention programs implemented with funds from the Office of Safe and Drug-Free Schools, ED established a set of Principles of Effectiveness in 1998, since incorporated into the No Child Left Behind Act of 2001 (Title IV – Section 4115). Although the new statutory requirements do not specifically apply to this grant competition, ED strongly encourages colleges and universities to:

- design programs based on a thorough needs assessment of objective data;
- establish a set of measurable goals and objectives linked to identified needs;
- implement prevention activities that research or evaluation have shown to be effective in preventing high-risk drinking or violent behavior;
- use evaluation results to refine, improve, and strengthen the program and refine goals and objectives as appropriate; and
- include meaningful and ongoing input from parents in the development of the application and implementation of the project.

Basic to the success of any program to prevent drug abuse and violent behavior among college students is the need to ensure the widespread involvement of key stakeholders including students, faculty members, alumni, and community members in the program's design and implementation. Leadership from college and university presidents and other senior administrators is key to institutionalizing prevention as a priority on campus.

### **Absolute Priority**

For FY 2005 and any subsequent year in which we make awards on the basis of the list of unfunded applications from this competition, this priority is an absolute priority. Under 34 CFR 75.105(c)(3) we consider only applications that meet this absolute priority.

Under this priority the Department provides funding to institutions of higher education (IHEs) that have been implementing effective alcohol and other drug prevention programs on their campuses. An IHE that receives funding under this priority must identify, enhance, further evaluate, and disseminate information about an effective alcohol or other drug prevention program being implemented on its campus.

### **To meet the priority, applicants must provide in their application --**

- (1) A description of an alcohol or other drug prevention program that has been implemented **for at least two full academic years** on the applicant's campus;
- (2) **Evidence of the effectiveness** of the program on the applicant's campus;
- (3) A plan to **enhance and further evaluate** the program during the project period; and

- (4) A plan to **disseminate information to assist other IHEs** in implementing a similar program.

Each section of this priority is explained below.

**1. A description of an alcohol or other drug prevention program that has been implemented for at least two full academic years on the applicant's campus.**

To meet this priority, an applicant must describe a program that has been implemented on its campus for at least two full academic years (fall through spring semesters or equivalent).

**2. Evidence of the effectiveness of the program.**

All applicants are required to provide evidence that their program has been effective. It is important to remember that what constitutes convincing evidence of success of a project may differ from one project to the next. Although it is anticipated that applicants may use a variety of both outcome-based and process measures, all applicants must use outcome-based performance indicators.

Ideally, program effectiveness will be linked to data that have been collected prior to the implementation of the program and throughout the duration of the program. The strongest evidence shows a clear link between the program and reductions in alcohol or other drug use. Other evidence may show that the program succeeded in reducing problems resulting from alcohol or other drug use, such as health problems, vandalism, or interpersonal violence. Other evidence may show that the program met an outcome objective that can be linked to eventual reductions in alcohol or other drug use or resulting problems. To this end, submissions must describe the methods used to evaluate their program, include the instruments used to measure the observed outcomes (or an in-depth description of those instruments) and provide quantitative and qualitative data collected before and after program implementation.

Examples of some possible outcome-based performance indicators include, but are not limited to:

- Changes in rates of students' use of alcohol or other drugs.
- Decreases in the incidence of student-related campus crime and other violations of law or campus policies.
- Changes in reported attitudes about the acceptability of alcohol or other drug use.
- Increases in accurate perceptions of student alcohol or other drug use.
- Changes in alcohol sales and service techniques and policies in social or commercial hosting situations that cater to students.
- Decreases in the overall quantity and frequency of binge drinking.
- Changes in the number of alcohol or other drug and violence-related disciplinary actions.
- Increases in the percentage of individuals who are aware of policies and policy enforcement.
- Changes in the number of reported alcohol or other drug and violence-related incidents or problems. Such changes may include reductions in the number of alcohol or other drug-related student health service visits, deaths, traffic crashes and/or fatalities, property



damage, vandalism; in the number of campus police alcohol or other drug and violence-related incidents; and in the extent to which alcohol and other drug use is referenced as a contributing factor in academic performance and attrition rates.

### **3. A plan to enhance and further evaluate the program during the project period.**

The application must specify the institution's plan to enhance and further evaluate their program during the project period. Enhancements may include expanding the number of students served; adding a new strategy for evaluation; or making improvements to the existing program. Evaluations should continue to collect data on existing program elements as well as any program enhancements. Data should be collected on reductions in alcohol or other drug use and AOD-related problems, and other outcome-based indicators that show effectiveness in developing or maintaining a safe and healthy campus environment.

### **4. A plan to disseminate information to assist other IHEs in implementing a similar program.**

The awardees will have effective programs that can serve as models for replication or adaptation by other institutions. The application must describe a dissemination strategy that will alert appropriate institutions to the model program, inform them as to how the program might be used on other campuses, and provide materials or enough detailed information so interested campuses can create a similar program. The plan may include such methods as writing articles for appropriate publications, providing consultations at the model institution or at institutions interested in using the model, hosting a conference, utilizing electronic media, or creating web sites. Institutions may propose partnering with appropriate national organizations to maximize the reach or impact of their dissemination plan.

### **Selection Criteria**

The following selection criteria will be used to evaluate applications under this competition. The maximum score for all of these criteria is 100 points. For ease of reading by the reviewers, applicants should follow the sequence of criteria provided below. The criteria contain weighted subcriteria. Applicants must address each subcriterion to qualify for the maximum number of points for each criterion. The maximum score for each criterion is indicated in parentheses.

- 1) Significance - 25 points
- 3) Quality of the Project Design - 40 points
- 4) Quality of the Project Evaluation - 35 points

***Note:** Because this competition seeks to identify model programs that have been operational for two or more academic years, these selection criteria primarily will be used by reviewers to evaluate an applicant's existing program and the applicant's plan to disseminate information about this program. Secondly, these criteria will be used to evaluate an applicant's plan to enhance and further evaluate this program.*

**(1) Significance (25 points)**

In determining the significance of the proposed project, the following factors are considered:

- (a) The extent to which the proposed project involves the development or demonstration of promising new strategies that build on, or are alternatives to, existing strategies. (5 points)
- (b) The potential replicability of the proposed project or strategies, including, as appropriate, the potential for implementation in a variety of settings. (10 points)
- (c) The extent to which the results of the proposed project are to be disseminated in ways that will enable others to use the information or strategies. (10 points)

*In applying the above criteria, the following information is considered:*

- (1) Whether the program includes the use of any promising new strategies that have been tested;*
- (2) The feasibility of the program to be replicated or adapted by other campuses;*
- (3) The quality and usefulness of the dissemination plan in encouraging use of program information, strategies, and results by other colleges and universities.*

**(2) Quality of the project design (40 points)**

In determining the quality of the design of the project, the following factors are considered:

- (a) The extent to which the design of the proposed project reflects up-to-date knowledge from research and effective practice. (20 points)
- (b) The extent to which the goals, objectives, and outcomes to be achieved by the proposed project are clearly specified and measurable. (10 points)
- (c) The extent to which the design of the proposed project is appropriate to, and will successfully address, the needs of the target population or other identified needs. (5 points)
- (d) The extent to which the proposed project will establish linkages with other appropriate agencies and organizations providing services to the target population. (5 points)

*In applying the above criteria, the following information is considered:*

- (1) The quality of the needs assessment and how well this assessment relates to the goals and objectives of the program.*
- (2) How well the program is integrated within a comprehensive alcohol and other drug prevention effort.*
- (3) The level of institutional commitment, leadership, and support for alcohol and other drug prevention efforts.*
- (4) The clarity and strength of the institution's alcohol or other drug policies and the extent to which those policies are broadly disseminated and consistently enforced.*

- (5) The extent to which students and employees are involved in the program design and implementation process.*
- (6) The extent to which the institution has joined with community leaders to address AOD issues.*
- (7) If applicable, what steps the institution is taking to limit alcoholic beverage sponsorship, advertising, and marketing on campus; and what steps are being taken to establish or expand upon alcohol-free living arrangements for students.*
- (8) If applicable, the extent to which the applicant has undertaken efforts designed to change the culture of college drinking on its campus.*

**(3) Quality of the project evaluation (35 points)**

In determining the quality of the evaluation, the following factors are considered:

- (a) The extent to which the methods of evaluation are thorough, feasible, and appropriate to the goals, objectives and outcomes of the proposed project. (10 points)*
- (b) The extent to which the evaluation data provide evidence of the effectiveness of the program in reducing either alcohol or other drug use, in reducing the problems resulting from either alcohol or other drug use, or in meeting outcome objectives that are associated with reductions in alcohol or other drug use or resulting problems. (15 points)*
- (c) The extent to which the evaluation will provide guidance about effective strategies suitable for replication or testing in other settings. (10 points)*

*In applying the above criteria, the following information is considered:*

- (1) The quality of the evaluation methodology and evaluation instruments.*
- (2) Whether both process (formative) and outcome (summative) data are included for each year that the program has been implemented, including data collected both before and after initiation of the program.*
- (3) The quality of both the quantitative and qualitative data.*
- (4) How evaluation information has and will be used for continuous improvement of the program.*
- (5) How the evaluation design will assist other campuses that are interested in implementing the program.*

## **VI. APPLICATION CONTENTS**

### **Preparing the Application**

A completed application for assistance under this competition consists of two parts:

- (1) a detailed narrative description of the proposed project and budget, and
- (2) all forms and assurances that must be submitted in order to receive a grant.

A panel of non-federal readers with experience in alcohol and other drug abuse prevention will review each eligible application submitted by the deadline.

The panel will award up to a total of 100 points to each application depending on how well the selection criteria are addressed. Be sure you provide a comprehensive response to each factor under each selection criterion. Applications that fail to do so will be read, but our experience suggests they may not score well enough to be funded.

### **Organizing the Application**

An application under this program should address the specific needs of the applicant and propose activities specifically designed to meet those needs. The Department strongly discourages applicants from using “form” applications or proposals that address general rather than specific local needs.

We recommend that applicants organize the information in their application in the following order. All pages should be number consecutively to make review and evaluation easier. Applications should be double-spaced and printed on one side of the paper.

#### **1. Application for Federal Assistance (ED Form 424)**

Use the Application for Federal Education Assistance (ED Form 424) to cover the original and each copy of the application. In item 4, clearly identify the CFDA Number and title of the competition under which funds are being requested. Please include the following: 84.184N.

Under item 12 on the ED Form 424, indicate whether the evaluation of proposed activities include human subjects research, and if so, whether any or all of the proposed activities are exempt. See <http://www.ed.gov/policy/fund/guid/humansub/overview.html>. For additional guidance see instructions for ED 424 in the required forms section of this package or call ED’s Protection of Human Subjects Coordinator at (202) 245-6153.

#### **2. Table of Contents**

Provide an itemized listing of each section of the application package, including page numbers.

### **3. Abstract**

Clearly mark this page with the applicant/organizational name as shown in Item 1 of ED 424. The abstract should not exceed one page and should provide a concise and accurate description of the proposed project including its objectives, approaches to be used, and its expected outcomes. Clearly identify the population to be served, including the number of students and the number and name of schools, if applicable.

### **4. Program Narrative**

Narratives should be no more than 25 double-spaced pages in 12-point type. Narratives must contain evidence that the applicant meets the absolute priority, and should be organized according to the selection criteria.

### **5. Budget Form**

Use the Budget Information Form (ED Form 524, Sections A, B, and C, as appropriate) provided in Section X of this application package to prepare a budget for the funded project period. Do not substitute local budget categories or accounting codes for the categories on the ED Form 524. This information must be entered into the Department's Grants Administration and Payment System exactly as given on the ED Form 524. **Note:** A budget for a 15-month budget period must be submitted.

### **6. Budget Narrative**

Include a detailed budget narrative that supports and explains the information provided in the Budget Information Form (ED Form 524). Explain the basis used to estimate costs for all budget categories, and how the cost items relate to the proposed project goals, objectives, and activities. All expenditures must be necessary to carry out the goals and objectives of the program, reasonable for the scope and complexity of the program, and allowable under the terms and conditions of the grant and in accordance with government cost principles.

The Budget Information Form and accompanying narrative should provide enough detail for reviewers to easily understand how costs were determined and if the budget is commensurate with the scope of the project. **Failure to submit a detailed budget narrative may result in significant cuts to your request.**

### **7. Appendices and Forms**

Information provided in this section includes forms and other material required by ED in order for an application to be eligible for funding as well as any other information that applicants may choose to submit in support of their capacity and preparation to undertake the proposed project. The following items are not part of the appendices and may **not** be included:

- budget or program narrative information that the applicant wishes to have reviewed as part of its response to one or more scoring criteria--all such information must be included in the narrative portion of the application; and
- video tapes, CD-ROMs, photographs or floppy disks--they will not be reviewed and we will not return them.

This section **must** include the following:

1. ED Form 524
  - Section A, Budget Summary, U.S. Department of Education Funds
  - Section B, Budget Summary, Non-Federal Funds (if appropriate)
  - Section C, Other Budget Information
2. Assurances/Certifications
  - Assurances, Non-Construction Programs (Standard Form 424B)
  - Disclosure of Lobbying Activities (Standard Form- LLL)
  - Certification Regarding Lobbying (ED Form 80-0013)
  - Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion—  
Lower Tier Covered Transactions (Ed Form 80-0014)
3. GEPA 427, Equitable Access to and Participation in Federally-Assisted Programs
4. Survey on Ensuring Equal Opportunity for Applicants (private, nonprofit organizations only)
5. Letter of transmittal to State Single Point of Contact (if your state participates)
6. Proof of negotiated indirect cost rate, as applicable (if you are claiming indirect costs)
7. Other program specific requirements
  - Letters of commitment from volunteer sources if you are offering the value of donated services as part of a matching requirement
  - Partnership Agreements or other letters of commitment to participate, if required by the competition
  - Program Specific Assurance if any are required as part of the grant program

This section **may** include the following:

1. Other information the applicant wishes to include in support of its capacity, experience, and readiness to undertake the proposed project, including resumes, letters of support, and relevant prior grant experience

The ED forms required to submit the application package are available electronically at the following Web site:

[www.ed.gov/fund/grant/apply/appforms/appforms.html](http://www.ed.gov/fund/grant/apply/appforms/appforms.html)

**8. Assurances and Certifications:** Standard Form 424B, ED Form 80-0013, and ED Form 80-0014 must be signed with the original signatures of the person authorized to sign for the institution, and must be included in the application package. **Note:** If 1(b) of Form ED 80-0013 applies because of lobbying activities related to a previous grant, or are anticipated to occur with

this project if it is funded, you must submit Standard Form LLL. If your organization does not engage in lobbying, please submit Standard Form LLL and mark NA on the face.

## **General Education Provisions Act (GEPA) Section 427**

Section 427 of GEPA affects applicants for new discretionary grant awards under this program. All applicants for new awards must include information in their applications to address this provision, summarized below, in order to receive funding under this program.

Section 427 requires each applicant for funds (other than an individual person) to include in its application a description of the steps the applicant proposes to take to ensure equitable access to, and participation in, its federally-assisted program for students, teachers, and other program beneficiaries with special needs.

This section allows applicants discretion in developing the required description. The statute highlights six types of barriers that can impede equitable access or participation that you may address: *gender, race, national origin, color, disability, or age*. Based on local circumstances, you can determine whether these or other barriers may prevent your students, teachers, or others from equitable access or participation. Your description need not be lengthy; you may provide a clear and succinct description of how you plan to address those barriers that are applicable to your circumstances. In addition, the information may be provided in a single narrative, or, if appropriate, may be discussed in connection with related topics in the application.

**NOTE: A general statement of an applicant's nondiscriminatory hiring policy is not sufficient to meet this requirement. Applicants must identify potential barriers and explain steps they will take to overcome these barriers.**

Section 427 is not intended to duplicate the requirements of civil rights statutes, but rather to ensure that, in designing their projects, applicants for federal funds address equity concerns that may affect the ability of certain potential beneficiaries to fully participate in the project and to achieve to high standards. Consistent with program requirements and its approved application, an applicant may use the federal funds awarded to it to eliminate barriers it identifies.

### **Examples**

The following examples help illustrate how an applicant may comply with section 427.

- (1) An applicant that proposes to carry out an adult literacy project serving, among others, adults with limited English proficiency, might describe in its application how it intends to distribute a brochure about the proposed project to such potential participants in their native language.
- (2) An applicant that proposes to develop instructional materials for classroom use might describe how it will make the materials available on audiotape or in Braille for students who are blind.

- (3) An applicant that proposes to carry out a model science program for secondary students and is concerned that girls may be less likely than boys to enroll in the course, might indicate how it tends to conduct "outreach" efforts to girls to encourage their enrollment.

We recognize that many applicants may already be implementing effective steps to ensure equity of access and participation in their grant programs, and we appreciate your cooperation in responding to the requirements of this provision.

#### **Paperwork Burden Statement for GEPA 427**

According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number. The valid OMB control number for the GEPA 427 is OMB No. 1890-0007. The time required to complete GEPA 427 is estimated to average 1.5 hours per response, including the time to review instructions, search existing data resources, gather and maintain the data needed, and complete and review the information collection. If you have any comments concerning the accuracy of the time estimate(s) or suggestions for improving this form, please write to: U.S. Department of Education, Washington, DC 20202-4651. If you have comments or concerns regarding the status of your individual submission of this form, write directly to: U.S. Department of Education, Office of Safe and Drug-Free Schools, 400 Maryland Avenue, SW, Room 3E258, Washington, DC 20202-6450.



## **VII. APPLICATION TRANSMITTAL PROCEDURES**

Applications for grants under the Alcohol and Other Drug Prevention Models on College Campuses may be submitted electronically or in paper format by mail or hand delivery. The electronic submission of applications is voluntary. However, if you choose to submit your application electronically you must use the site listed below. Through this site you will be able to download a copy of the application package, complete it offline and then upload and submit your completed application electronically. **You may not e-mail or submit applications by facsimile.**

### **Application Transmittal Instructions**

**ATTENTION ELECTRONIC APPLICANTS:** Please note that you must follow the Application Procedures as described in the Federal Register notice announcing the grant competition. Some programs may require electronic submission of applications, and those programs will have specific requirements and waiver instructions in the Federal Register notice.

If you want to apply for a grant and be considered for funding, you must meet the following deadline requirements:

### **Applications Submitted Electronically**

You must submit your grant application through the Internet using the software provided on the Grants.gov Web site (<http://www.grants.gov>) by 4:30 p.m. (Washington, DC time) on the application deadline date.

If you submit your application through the Internet via the e-Grants Web site, you will receive an automatic acknowledgment when we receive your application.

For more information on using Grants.gov, please refer to the Notice Inviting Applications that was published in the Federal Register and visit <http://www.grants.gov>.

### **Applications Sent by Mail**

You must mail the original and two copies (unbound) of the application on or before the deadline date. To help expedite our review of your application, we would appreciate your voluntarily including an additional copy of your application.

Do not attach anything that cannot be photocopied using automatic processes. Do not attach anything stapled, folded, pasted, or in a size other than 8 ½" x 11" on white paper. Only one side of the paper should have printing. Odd-sized attachments of any kind will not be copied.

**Please mail copies to:**

**U.S. Department of Education  
Application Control Center  
Attention: CFDA# 84.184N  
400 Maryland Avenue, SW  
Washington, DC 20202 - 4260**

You must show one of the following as proof of mailing:

- (1) A legibly dated U. S. Postal Service Postmark.
- (2) A legible mail receipt with the date of mailing stamped by the U. S. Postal Service.
- (3) A dated shipping label, invoice, or receipt from a commercial carrier.
- (4) Any other proof of mailing acceptable to the Secretary.

If you mail an application through the U.S. Postal Service, we do not accept either of the following as proof of mailing:

- (1) A private metered postmark.
- (2) A mail receipt that is not dated by the U.S. Postal Services.

An applicant should note that the U.S. Postal Service does not uniformly provide a dated postmark. Before relying on this method, an applicant should check with its local post office.

**Applications Delivered by Commercial Carrier:**

**Special Note: Due to recent disruptions to normal mail delivery, the Department encourages you to consider using an alternative delivery method (for example, a commercial carrier, such as Federal Express or United Parcel Service; or U. S. Postal Service Express Mail) to transmit your application for this competition to the Department. If you use an alternative delivery method, please obtain the appropriate proof of mailing under “Applications Sent by Mail,” then follow the mailing instructions under the appropriate delivery method.**

Applications that are delivered by commercial carrier, such as Federal Express, United Parcel Service, etc. should be mailed to the:

**U.S. Department of Education  
Application Control Center – Stop 4260  
Attention: CFDA# 84.184N  
7100 Old Landover Road  
Landover, MD 20785-1506**

**Applications Delivered by Hand**

You or your courier must hand deliver the original and two copies requested of the application by 4:30 p.m. (Washington, DC time) on or before the deadline date. To help expedite our review

of your application, we would appreciate your voluntarily including an additional copy of your application.

**Please hand deliver copies to:**

**U.S. Department of Education  
Application Control Center  
Attention: CFDA# 84.184N  
550 12th Street, SW  
PCP - Room 7041  
Washington, DC 20202 – 4260**

The Application Control Center accepts application deliveries daily between 8:00 a.m. and 4:30 p.m. (Washington, DC time), except Saturdays, Sundays and Federal holidays.

## **VIII. INTERGOVERNMENTAL REVIEW**

This grant competition is subject to the requirements of Executive Order 12372 and the regulations in 34 CFR Part 79. One of the objectives of the Executive Order is to foster an intergovernmental partnership and a strengthened federalism. The Executive Order relies on processes developed by state and local governments for coordination and review of proposed federal financial assistance.

Applicants must contact the appropriate State Single Point of Contact to find out about, and to comply with, the state's process under Executive Order 12372. Applicants proposing to perform activities in more than one state should immediately contact the Single Point of Contact for each of those states and follow the procedure established in each state under the Executive Order. The name and address of each State Single Point of Contact is listed below. ***Note: A copy of your letter to the State Single Point of Contact must be included with the application.***

In states that have not established a process or chosen a program for review, State, area-wide, regional, and local entities may submit comments directly to the Department.

Any State Process Recommendation and other comments submitted by a State Single Point of Contact and any comments from state, area-wide, regional, and local entities must be received by August 31, 2005, at the following address: The Secretary, EO 12372—CFDA# 84.184N, U.S. Department of Education, 400 Maryland Avenue, SW, Room 7W300, Washington, DC 20202-0124. Recommendations or comments may be hand-delivered until 4:30 p.m. (Eastern Time) on August 31, 2005. Please do not send applications to this address.

States that are not listed have chosen not to participate in the intergovernmental review process, and therefore do not have a State Single point of Contact. If you are located within one of these states, you are exempt from this requirement.

### **State Single Points of Contact**

#### **ARKANSAS**

Tracy L. Copeland  
Manager, State Clearinghouse  
Office of Intergovernmental Services  
Department of Finance and Admin.  
1515 W. 7th St., Room 412  
Little Rock, Arkansas 72203  
Telephone: (501) 682-1074  
Fax: (501) 682-5206  
tracy.copeland@dfa.state.ar.us

#### **CALIFORNIA**

Grants Coordination  
State Clearinghouse  
Office of Planning and Research

P.O. Box 3044, Room 222  
Sacramento, California 95812-3044  
Telephone: (916) 445-0613  
Fax: (916) 323-3018  
state.clearinghouse@opr.ca.gov

#### **DELAWARE**

Sandra R. Stump  
Executive Department  
Office of the Budget  
540 S. Dupont Highway, 3rd Floor  
Dover, Delaware 19901  
Telephone: (302) 739-3323  
Fax: (302) 739-5661  
sandy.stump@state.de.us

**DISTRICT OF COLUMBIA**

Marlene Jefferson  
DC Government Office of Partnerships  
and Grants Development  
441 4th Street, NW  
Washington, DC 20001  
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**FLORIDA**

Lauren P. Milligan  
Florida State Clearinghouse  
Florida Dept. of Environmental Protection  
3900 Commonwealth Boulevard  
Mail Station 47  
Tallahassee, Florida 32399-3000  
Telephone: (850) 245-2161  
Fax: (850) 245-2190  
Lauren.Milligan@dep.state.fl.us

**GEORGIA**

Barbara Jackson  
Georgia State Clearinghouse  
270 Washington Street, SW, 8th Floor  
Atlanta, Georgia 30334  
Telephone: (404) 656-3855  
Fax: (404) 656-7916  
gach@mail.opb.state.ga.us

**ILLINOIS**

Roukaya McCaffrey  
Department of Commerce and  
Economic Opportunities  
620 East Adams, 6th Floor  
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Fax (217) 558-0473  
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**IOWA**

Kathy Mabie  
Iowa Department of Management  
State Capitol Building Room G12  
1007 E Grand Avenue  
Des Moines, Iowa 50319

Telephone: (515) 281-8834  
Fax: (515) 242-5897  
Kathy.Mabie@iowa.gov

**KENTUCKY**

Ron Cook  
The Governor's Office for Local  
Development  
1024 Capital Center Drive, Suite 340  
Frankfort, Kentucky 40601  
Telephone: (502) 573-2382 / (800) 346-  
5606  
Fax: (502) 573-2512  
Ron.Cook@Ky.Gov

**MAINE**

Joyce Benson  
State Planning Office  
184 State Street  
38 State House Station  
Augusta, Maine 04333  
Telephone: (207) 287-3261  
(direct) (207) 287-1461  
Fax: (207) 287-6489  
joyce.benson@state.me.us

**MARYLAND**

Linda C. Janey, J.D.  
Director, Maryland State Clearinghouse  
For Intergovernmental Assistance  
301 West Preston Street, Room 1104  
Baltimore, Maryland 21201-2305  
Telephone: (410) 767-4490  
Fax: (410) 767-4480  
ljaney@mdp.state.md.us

**MICHIGAN**

Richard Pfaff  
Southeast Michigan Council of  
Governments  
535 Griswold, Suite 300  
Detroit, Michigan 48226  
Telephone: (313) 961-4266  
Fax: (313) 961-4869  
pfaff@semcog.org

**MISSISSIPPI**

Mildred Tharpe  
Clearinghouse Officer  
Department of Finance and Administration  
1301 Woolfolk Building, Suite E  
501 North West Street  
Jackson, Mississippi 39201  
Telephone: (601) 359-6762  
Fax: (601) 359-6758

**MISSOURI**

Laurie Morris  
Federal Assistance Clearinghouse  
Office of Administration  
Capitol Building, Room 125  
Jefferson City, Missouri 65102  
Telephone: (573) 751-0337  
Fax: (573) 751-1212  
igr@oa.mo.gov

**NEVADA**

Michael Stafford  
Department of Administration  
State Clearinghouse  
209 E. Musser Street, Room 200  
Carson City, Nevada 89701  
Telephone: (775) 684-0209  
Fax: (775) 684-0260  
mstafford@budget.state.nv.us

**NEW HAMPSHIRE**

MaryAnn Manoogian  
Director, New Hampshire Office of  
Energy and Planning  
Attn: Intergovernmental Review Process  
Benjamin Frost  
57 Regional Drive  
Concord, New Hampshire 03301-8519  
Telephone: (603) 271-2155  
Fax: (603) 271-2615  
irp@nh.gov

**NEW YORK**

Linda Shkreli  
Office of Public Security  
Homeland Security Grants Coordination

633 3rd Avenue  
New York, NY 10017  
Telephone: (212) 867-1289  
Fax: (212) 867-1725

**NORTH DAKOTA**

Jim Boyd  
ND Department of Commerce  
1600 East Century Avenue, Suite 2  
P.O. Box 2057  
Bismarck, North Dakota 58502-2057  
Telephone: (701) 328-2676  
Fax: (701) 328-2308  
jboyd@state.nd.us

**RHODE ISLAND**

Joyce Karger  
Department of Administration  
One Capitol Hill  
Providence, Rhode Island 02908-5870  
Telephone: (401) 222-6181  
Fax: (401) 222-2083  
jkarger@doa.state.ri.us

**SOUTH CAROLINA**

SC Clearinghouse  
Budget and Control Board  
Office of State Budget  
1201 Main Street, Suite 950  
Columbia, South Carolina 29201  
Telephone: (803) 734-0494  
Fax: (803) 734-0645  
clearinghouse@budget.state.sc.us

**TEXAS**

Denise S. Francis  
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Governor's Office of Budget and Planning  
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Austin, Texas 78711  
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Fax: (512) 936-2681  
dfrancis@governor.state.tx.us

**UTAH**

Sophia DiCaro

Utah State Clearinghouse  
Governor's Office of Planning and Budget  
Utah State Capitol Complex  
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Salt Lake City, Utah 84114-2210  
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Fax: (801) 538-1547  
sdicaro@utah.gov

#### **WEST VIRGINIA**

Fred Cutlip, Director  
Community Development Division  
West Virginia Development Office  
Building #6, Room 553  
Charleston, West Virginia 25305  
Telephone: (304) 558-4010  
Fax: (304) 558-3248  
fcutlip@wvdo.org

#### **WISCONSIN**

Jeff Smith  
Section Chief, Federal/State Relations  
Wisconsin Department of Administration  
101 East Wilson Street, 6th Floor  
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Madison, Wisconsin 53707  
Telephone: (608) 266-0267  
Fax: (608) 267-6931  
jeffrey.smith@doa.state.wi.us

#### **AMERICAN SAMOA**

Pat M. Galea'i  
Federal Grants/Programs Coordinator  
Office of Federal Programs/Office of  
the Governor  
Department of Commerce  
American Samoa Government  
Pago Pago, American Samoa 96799  
Telephone: (684) 633-5155  
Fax: (684) 633-4195  
pmgaleai@samoatelco.com

#### **GUAM**

Director  
Bureau of Budget and Mgmt. Research  
Office of the Governor  
P.O. Box 2950  
Agana, Guam 96910  
Telephone: 011-671-472-2285  
Fax: 011-472-2825  
jer@ns.gov.gu

#### **NORTH MARIANA ISLANDS**

Ms. Jacoba T. Seman  
Federal Programs Coordinator  
Office of Management and Budget  
Office of the Governor  
Saipan, MP 96950  
Telephone: (670) 664-2289  
Fax: (670) 664-2272  
omb.jseman@saipan.com

#### **PUERTO RICO**

Jose Caballero / Mayra Silva  
Puerto Rico Planning Board  
Federal Proposals Review Office  
Minillas Government Center  
P.O. Box 41119  
San Juan, Puerto Rico 00940-1119  
Telephone: (787) 723-6190  
Fax: (787) 722-6783

#### **VIRGIN ISLANDS**

Ira Mills  
Director, Office of Management and  
Budget  
#41 Norre Gade Emancipation Garden  
Station, Second Floor  
Saint Thomas, Virgin Islands 00802  
Telephone: (340) 774-0750  
Fax: (340) 776-0069  
lrmills@usvi.org

Note: This list is based on the most current information provided by the States. Information on any changes or apparent errors should be provided to Sherron Duncan at 202/395-3120 at the Office of Management and Budget and to the State in question. Changes to the list will only be made upon formal notification by the State. The list also is published biannually in the Catalog of Federal Domestic Assistance.

## **IX. FREQUENTLY ASKED QUESTIONS**

### ***General***

#### **What steps can I take to maximize my chances of receiving a grant?**

- Before preparing your application, read the application package carefully and completely.
- Follow all of the instructions exactly.
- If you're uncertain about any aspects of this application package, contact the competition managers for clarification.
- Absolute priorities establish the parameters for applications under a grant competition. If your application does not meet the absolute priority for this grant competition, it will not be considered for funding.
- A panel of three persons from the drug abuse and violence prevention fields will review your application. Be sure to organize your application clearly, provide requested information in a comprehensive manner, and respond to each selection criterion thoroughly. Reviewers are not allowed to give you "the benefit of the doubt"; therefore, if it is not in your application, they cannot award points for it.
- Be sure that your application includes a budget request (ED Form 524) and complete narrative justification for each project year.
- Be sure submit your application on or before the deadline date of August 1, 2005.

#### **What is an indirect cost rate?**

An indirect cost is an expense that you incur that is necessary to implementing the grant, but may be difficult to identify with your grant. For example, indirect costs may include money spent for heat, light, rent, telephone, security, accounting, and Internet use.

If your organization prefers to use all of its grant funds for direct project costs, you are not required to charge the grant for indirect costs. If you wish to charge indirect costs, however, you must use a negotiated indirect cost rate for this competition.

For more information, please see: <http://www.ed.gov/about/offices/list/ocfo/fipao/icgindex.html>.

#### **Is there a restricted indirect cost rate for this program?**

No. The indirect cost rate is the negotiated rate between the applicant and cognizant federal agency. For the majority of institutions of higher education, the cognizant federal agency will be the Department of Health and Human Services (in other cases, it may be the Department of Education, Department of the Interior, or the Office of Naval Research). For more information about indirect cost rates, please visit

<http://www.ed.gov/about/offices/list/ocfo/fipao/abouticg.html>.



**For my GEPA 427 statement (see page 25), is it adequate to state that our organization does not discriminate on the basis of race, religion, sex, etc.?**

No. An organization's non-discrimination statement is not sufficient to meet the GEPA requirements. A GEPA statement should outline an entity's potential barriers and solutions to equal access.

**What kinds of activities are likely to be "human subjects research"?**

ED's regulations for the protection of human subjects, 34 CFR Part 97, defines research as a systematic investigation (including program evaluation) designed to develop or contribute to general knowledge. A "systematic" investigation typically uses scientific methods (such as adequate sample sizes, surveys, control groups, and/or randomization). Studies of alcohol abuse reduction programs may fit the definition of "research" if they are designed so that the findings transcend the study site or population studied and it contributes to the development of new knowledge about what works (and how) in alcohol abuse reduction. Research becomes "human subjects" research when the researcher obtains data about an individual through an intervention or otherwise obtains identifiable private information about individuals for research purposes.

For additional information on human subjects research go to:

<http://www.ed.gov/about/offices/list/ocfo/humansub.html>

**If human research activities are planned, what should the applicant do?**

The applicant must provide a brief narrative of research activities or the seven-point non-exempt narrative. Applicants are not required to have an assurance or to obtain the approval of an Institutional Review Board (IRB) prior to applying for the grant.

**What happens once the application is selected for funding and non-exempt human subjects research activities are planned?**

The grantee (and any other institution performing research) will need to provide an assurance in which the grantee agrees to follow ED regulations for the protection of human subjects. In addition, the proposed research will also have to be reviewed and approved by an IRB. ED can offer guidance to grantees with regard to any assurance needed and on finding an IRB.

**May I charge the cost of the IRB review of my proposal to the grant?**

Yes. You may charge all costs associated with IRB to the grant.

**How does the Freedom of Information Act affect my application?**

The Freedom of Information Act (FOIA) was enacted in 1966 and provides the right to request access to federal agency records or information. All agencies of the U.S. Government are required to disclose records upon receiving a written request for them, except for those records that are protected from disclosure by the nine exemptions listed in the FOIA. All applications submitted for funding consideration under this grant competition are subject to the FOIA. To read the text of the Freedom of Information Act, visit [www.usdoj.gov/04foia/foiastat.htm](http://www.usdoj.gov/04foia/foiastat.htm).

**Why do I need a valid e-mail address?**

We often have questions about aspects of the application that need to be clarified. These questions usually arise late in the application review process and require a rapid response. Valid e-mail addresses of persons who are knowledgeable about the application and can answer questions are essential. In addition, we no longer mail peer reviewer comments. We will send you instructions via e-mail on how to get access to reviewer comments on your application online.

## ***Submission requirements***

### **Are electronic application submissions required under this competition?**

No. However, you may submit your application electronically if you wish. Complete instructions for electronic submissions can be found at <http://www.grants.gov>.

### **What is the deadline date for transmittal of applications under this grant competition?**

August 1, 2005.

### **May I get an extension of the deadline date?**

Waivers for individual applications failing to meet the deadline will not be granted, regardless of the circumstances. Under extraordinary circumstances the Department may change the closing date for a grant competition. When this occurs, the Secretary announces this change in a notice published in the Federal Register.

## ***Competition Specific***

### **Who is eligible to apply?**

This grant competition is open to institutions of higher education (IHEs) that offer an associate or baccalaureate degree.

### **My institution received an award as a model program several years ago. May I apply again this year?**

To be eligible, your institution must not have received an award under this competition (CFDA 84.184N) during the previous five fiscal years. That would include any competitions held in fiscal years 2000 through 2004.

### **How long must programs have been implemented in order to be eligible?**

Programs must have been implemented for at least two full academic years. We are defining an academic year as the fall through spring semesters (or equivalent, for those institutions that are not on a semester system). Therefore, for the purposes of this competition, a program should have begun implementation no later than fall 2002.

### **How much money is available under this grant competition?**

The Department expects to make available approximately \$750,000 for this program in fiscal year 2005.

### **What are the program elements that applicants must address?**

A project funded under this absolute priority must include all of the following activities:

- (1) A description of an alcohol or other drug prevention program that has been implemented for at least two full academic years on the applicant's campus;
- (2) Evidence of the effectiveness of the program on the applicant's campus;
- (3) A plan to enhance and further evaluate the program during the project period; and
- (4) A plan to disseminate information to assist other IHEs in implementing a similar program.

### **Does the applicant need to address all four program elements to be considered for this competition?**

Yes. Applicants that do not address all four required program elements will be considered non-responsive to the absolute priority for this program.

**How many new awards will be made?**

It is estimated that 10 new awards will be made.

**What is the project and budget period for these grants?**

15 months.

**Do I need to submit a budget narrative for each year?**

The budget period will be one 15-month period. Please submit a budget narrative that reflects this one 15-month budget period. For additional guidance on preparing a budget narrative, please see [http://www.ed.gov/admins/grants/apply/techassist/resource\\_pg8.html](http://www.ed.gov/admins/grants/apply/techassist/resource_pg8.html).

**What is the average amount of each grant?**

Projects will be funded for approximately \$50,000 to \$125,000 per year depending on the scope of work. These figures are only estimates and do not bind the Department of Education to a specific number of grants or amount of any grant.

**Is there a minimum or maximum amount that may be requested to support a project?**

No. Although the application package includes an estimated range of awards, an applicant should request the amount needed to support the goals, objectives, and scope of the proposed project, including a detailed justification for that amount.

**Is there a matching requirement?**

No.

**Are there guidelines for how much money can be spent on consultants? What is the daily limit and is there a cap?**

There is no daily limit or cap for consultant fees. Information related to these fees should be included on ED Form 524 under the budget categories of “Contractual” or “Other.” Applicants should be sure to fully substantiate all expenditures in the budget narrative. All costs must be necessary and reasonable and consistent with the purposes of the grant.

**What are some of the circumstances that a grant application that is submitted for funding under this competition be deemed ineligible for review?**

An application submitted for funding under this competition will be deemed ineligible for funding if it does not meet the absolute priority. Also, any IHE that has received funds under this grant competition (CFDA 84.184N) during the previous five fiscal years (fiscal years 2000 through 2004) is not eligible for funding under this program.

**Will all applicants receive a site visit as part of the review?**

No. Only high-scoring applicants will be selected for site visits.

**Who do I contact for more information about this grant competition?**

**Vera Messina**, Education Program Specialist, U.S. Department of Education, 400 Maryland Avenue, SW, Room 3E258, Washington, DC 20202-6450, Phone: (202) 260-8273, Fax: (202) 260-7767, E-mail: [vera.messina@ed.gov](mailto:vera.messina@ed.gov)

OR

**Ruth Tringo**, Education Program Specialist, U.S. Department of Education, 400 Maryland Avenue, SW, Room 3E338, Washington, DC 20202-6450, Phone: (202) 260-2838, Fax: (202) 260-7767, E-mail: [ruth.tringo@ed.gov](mailto:ruth.tringo@ed.gov)

## **X. APPENDICES AND FORMS**

- Application Package Preparation Checklist
- Application for Federal Education Assistance (ED Form 424)
- Budget Information – Non-Construction Programs (ED Form 524)
- Assurances - Non-Construction Programs (Standard Form 424B)
- Certification Regarding Lobbying (ED Form 80-0013)
- Disclosure of Lobbying Activities (Standard Form – LLL)
- Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion – Lower Tier Covered Transactions (ED Form 80-0014)
- Survey on Ensuring Equal Opportunity for Applicants
- Authorizing Legislation – No Child Left Behind Act of 2001, Title IV – Section 4121
- Important Notice to Prospective Participants (ED Form 5348)
- Grant Application Receipt Acknowledgement

## Use This Checklist in Preparing Your Application Package

- ❑ Application for Federal Education Assistance (ED Form 424) has been completed according to the instructions and includes the nine-digit D-U-N-S Number and Tax Identification Number.
- ❑ Application for Federal Education Assistance (ED Form 424) has been signed in black ink and dated by an authorized official and the signed original has been included with your submission.
- ❑ A one-page project abstract
- ❑ A budget summary page and supporting budget narrative
- ❑ A narrative description of the project
- ❑ All applications must include the required forms, assurances and certifications. See <http://www.ed.gov/fund/grant/apply/appforms/appforms.html>  
Required forms listed below:
  - (1) ED 424 – Application for Federal Assistance and Instructions
  - (2) ED 524 – Budget Information, Non-Construction Programs and Instructions
  - (3) SF 424B – Assurances, Non-Construction Programs
  - (4) ED 80-0013 – Certifications Regarding Lobbying
  - (5) ED 80-0014 – Certification Regarding Debarment, Suspension, Ineligibility & Voluntary Exclusion – Lower Tier Covered Transactions
  - (6) SF LLL – Disclosure of Lobbying Activities and Instructions
- ❑ GEPA Section 427 Requirement
- ❑ A copy of the letter to the State Single Point of Contact (see pages 30-33)
- ❑ One signed original and two copies of the application (including ED Form 424 and appendices), plus one voluntarily submitted additional copy have been included. All copies are unbound. Each page is consecutively numbered.
- ❑ Mailing Address: See page 27 – Application Transmittal Instructions
- ❑ Deadline Date: Applications must be transmitted, postmarked or hand delivered by August 1, 2005.